**PENSION PROS**
 **ROBS Plan Questionnaire**

The information provided will be used to prepare your corporate application, obtain EIN #’s, prepare plan/trust documents, conduct a fair market value appraisal and secure a fidelity bond for your plan.

**Client Information**Full name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Spouse/Partner name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Address:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ County \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Phone:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Alt phone:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Email:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Social Security #\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_We need this to obtain the EIN #s and surety bond
Birthdate:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Current Employment Status**Employed\_\_\_ Self-employed\_\_\_If employed: Leaving soon to buy business\_\_\_ Not leaving\_\_\_
If not leaving – I have confirmed that my employer will allow access to my funds and I have confirmed with the plan custodian that the funds can be transferred. **YES**\_\_\_\_ **NO**\_\_\_\_

**Retirement Account Information**Have there been any rollovers with any of your retirement accounts in the last 12 months?
Yes\_\_\_ No\_\_\_ If yes, please explain: Date/Reason\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Existing Plan type: (circle) 401k 403b IRA 457 SEP IRA Annuity Roth IRA

Custodian (ie. Fidelity)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Custodian\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Broker Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Broker Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Acct#\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Acct#\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Estimated Acct Balance\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Estimated Acct Balance\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Amount to Rollover\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Amount to Rollover\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**New Corporation Information**State to incorporate in:\_\_\_\_\_
Corp Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Physical Address (if different)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
1st Choice- Corporate Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2nd Choice- Corporate Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Trade Name (dba)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Corp name-ending preference: \_\_\_Inc\_\_\_Incorporated\_\_\_Co\_\_\_Company\_\_\_Corporation\_\_Ltd

**Officers:** (can be one individual) **Directors:** (canbe one individual)President\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Secretary\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Treasurer\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Corporation’s Registered Agent (if other than you)
Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Will business have more than one owner: N\_\_\_ Y\_\_\_ If yes, # of owners\_\_\_\_
If yes, # of owners investing retirement funds\_\_\_ # investing non-retirement funds\_\_\_
Does business involve ownership of real estate Y\_\_\_\_ N\_\_\_\_

**The Business**Startup Y\_\_N\_\_ If yes, franchise Y\_\_N\_\_ If yes, Franchise name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
 If yes, franchise sales rep or broker name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Already Own – If yes, Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
 If yes, county/state\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ #FT EE’s\_\_\_\_\_\_ #PT EE’s\_\_\_\_\_\_\_\_
Buying existing – If yes, Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
 If yes, county/state\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ #FT EE’s\_\_\_\_\_\_ #PT EE’s\_\_\_\_\_\_\_\_
 If yes, Purchase Price $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
 Personal savings$\_\_\_\_\_\_\_\_\_\_\_\_ SBA loan $\_\_\_\_\_\_\_\_\_ Other loans $\_\_\_\_\_\_\_\_\_
\*If applying for a loan for the business purchase, has it been approved yet? Yes\_\_\_\_ No\_\_\_\_
If no, when do you anticipate getting the formal approval from the bank? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
**Desired time frame to complete this transaction**: \_\_\_\_30 days or less \_\_\_\_ 31-60 days **Related Businesses**Do you, your spouse, or other investors have an ownership interest in any other business entities (incl sole proprietorships or inactive entities) Yes\_\_\_\_ No\_\_\_\_
If yes, please provide information on each entity below. If more than 2, please use add’l sheet
Business Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Business Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
State Filed in\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State Filed in\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Entity type\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Entity type\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Active: Yes\_\_\_\_ No\_\_\_\_ Active: Yes\_\_\_\_ No\_\_\_\_
Your ownership% \_\_\_\_\_\_\_\_\_\_ Your ownership% \_\_\_\_\_\_\_\_\_\_\_\_
Your spouse/partner ownership%\_\_\_\_\_\_\_\_ Your spouse/partner ownership%\_\_\_\_\_\_\_\_\_
#FT EE’s \_\_\_ #PT EE’s \_\_\_1099 Contractors\_\_\_ #FT EE’s\_\_\_ #PT EE’s\_\_\_ 1099 Contractors\_\_\_
Type of retirement plan (if any) \_\_\_\_\_\_\_\_\_\_\_\_\_ Type of retirement plan (if any) \_\_\_\_\_\_\_\_\_\_\_
Will this business interact with the new corp Will this business interact with the new corp
in any way Yes\_\_\_ No \_\_\_ in any way Yes\_\_\_ No\_\_\_
If yes, please explain:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ If yes, please explain:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Please scan/email to: bob@pensionpros401k.com** OR **Fax to: 1-949-377-3032**